FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

| OMB APPRO              | OVAL      |  |  |  |  |
|------------------------|-----------|--|--|--|--|
| OMB Number:            | 3235-0287 |  |  |  |  |
| Estimated average burd | en        |  |  |  |  |
| hours per response:    | 0.5       |  |  |  |  |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

|   |  |  |  |         | or S  | Secti   | on 30(h   | ) of the I | nvestme  | nt Co | mpany Act                                  | of 194  | 40                    |                |  |                           |  |   |  |
|---|--|--|--|---------|---|---|---|------------|--|-------|--|---|-----------------------|----------------|--|---------------------------|--|---|--|
| Name and Address of Reporting Person*     HAMILTON RICK       |  |  |  |         | 2. Issuer Name and Ticker or Trading Symbol CIENA CORP [ CIEN ] |   |   |            |  |       |  |   |                       |                | Check  | all app                   | licable)   |   | Issuer<br>Owner<br>r (specify                                      |
| (Last) (First) (Middle) C/O CIENA CORPORATION 7035 RIDGE RD.  |  |  |  |         |   | 3. Date of Earliest Transaction (Month/Day/Year) 12/23/2019 |   |            |  |       |  |   |                       |                | X Officer (give title Other (specify below)  SVP, Software and Services  |                           |  |   |  |
| (Street) HANOVER MD 21076-1426  (City) (State) (Zip)          |  |  |  | 26      | 4. If Amendment, Date of Original Filed (Month/Day/Year)        |   |   |            |  |       |  |   |                       |                | . Individual or Joint/Group Filing (Check Applicable ine)  X Form filed by One Reporting Person Form filed by More than One Reporting Person |                           |  |   |  |
|   |  | Tabl                                       | e I - Non                                      | -Deriva | ative   | Se  | curiti  | es Ac      | quired   | , Dis | posed o                                    | f, oı   | r Ben                 | eficia         | ally (   | Owne                      | ed   |   |  |
| 1. Title of Security (Instr. 3)  2. Transac Date (Month/Date) |  |  |  |         | ay/Year)   Ex   |   | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) |            |  |       | ties Acquired (A)<br>I Of (D) (Instr. 3, 4 |   |                       | and Sec<br>Ber |  | cially<br>I Following     | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4)  | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|   |  |  |  | v       |   |   | Amount  |            | (A) or<br>(D)  | Price | _ Tran                                     |   | action(s)<br>3 and 4) |                | (111341. 4)  |                           |  |   |  |
| Common Stock 12/23/   |  |  |  |         |   | 23/2019   |   |            |  |       | 7,119                                      | 1)  | D                     | \$41.86        |  | 6 76,586 <sup>(2)</sup>   |  | D   |  |
|   | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |  |  |         |   |   |   |            |  |       |  |   |                       |                |  |                           |  |   |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)           | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security  | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deeme<br>Execution<br>if any<br>(Month/Day | Date,   | 4.<br>Transaction<br>Code (Instr.<br>8)                         |   |   |            | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |       |  | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>and 4) |                       |                |  | vative<br>urity<br>tr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(<br>(Instr. 4) | Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |  |  |  |         | Code  | v   | (A)   | (D)        | Date<br>Exercisa   | able  | Expiration<br>Date                         | Title   | or<br>Nur<br>of       | mber           |  |                           |  |   |  |

## Explanation of Responses:

- 1. Sales were effected pursuant to Rule 10b5-1 trading plan dated 04/9/2019.
- 2. Shares reported include unvested Restricted Stock Units (RSUs) and Performance Stock Units (PSUs).

By: Michelle Rankin For: Rick Hamilton 12/24/2019

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

- \* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.